

Chapter 5

Funding Applications and Agreements

The process for transit agencies to apply for state and federal funding varies with the type of funding. The Iowa DOT has developed a Consolidated Transit Funding Application to use for state transit assistance (STA), and state administered federal operating and capital assistance. Other funding programs use separate application processes and may involve application through the Iowa DOT or directly to Federal Transit Administration (FTA). This chapter will provide an overview of the application processes for different funding programs, as well as the types of agreements used by the various programs.

Consolidated Transit Funding Application

Iowa's Consolidated Transit Funding Application is used by all transit agencies to apply for STA funds and federal 5310, 5316 and 5317 funds. Small urban and regional transit systems, along with the Des Moines Area Regional Transit Authority (DART), a rural provider in Polk County, also use this process to apply for state administered federal transit assistance under the 5311 program. Any system applying for statewide 5309 capital earmarked funds must include its request in the consolidated application. The consolidated application also requests information on expected direct-funded federal transit assistance grants for large urban transit systems under the 5307 program. Any individual earmarks from the 5309 capital program for all transit systems should also be included.

Each December, the Office of Public Transit (OPT) announces the department's forecast of allocations of state transit assistance and federal formula assistance under the 5310 and 5311 programs to all transit systems and planning agencies. These numbers are provided to assist local transit systems in budgeting for the next fiscal year. The numbers are also used to develop the transit element of the local Transportation Improvement Program and the Consolidated Transit Funding Application. The 5310 and 5311 allocations are the actual dollars allocated, unless federal apportionments change. The STA allocation will include the transit system's percentage share of STA for the next year and a **projection** of the dollar amount. However, STA funds depend on the revenues from the motor vehicle use tax, which cannot be projected with any certainty.

The Consolidated Transit Funding Application is posted each December on OPT's website at <http://www.iatransit.com/resources/applications.asp>. The application information includes the directions for submitting a Consolidated Transit Funding Application by the first business day in May. The projected STA allocations, allocations of 5310, 5311 and 5307 Federal Transit Assistance and New Freedom "marks" will also be available, along with the current year's Programming Guidance for Transit Vehicles.

The application must be submitted to OPT by the first business day in May. OPT staff reviews each application for accuracy and completeness. The Iowa DOT approves the STA allocations in June. At approximately the same time, the 5311 and 5310 projects are finalized with FTA.

5310 project proposals are received through the Consolidated Transit Funding Application process. Eligible projects must be contained in the local Passenger

Transportation Development Plan (PTDP) and the Transportation Improvement Program (TIP). Funds for these programs come from the current fiscal year's federal appropriation to Iowa.

5316 and 5317 project proposals are generally received through the Consolidated Transit Funding Application process. Each project must be submitted on the specific project proposal application form for that funding program. Copies of the forms are available on OPT's website at <http://www.iatransit.com/resources/applications.asp>. Eligible projects must be contained in the local Passenger Transportation Development Plan (PTDP) and the Transportation Improvement Program (TIP). Funds for these programs come from the current fiscal year's federal appropriation to Iowa. Projects are reviewed and selected by OPT staff and submitted to the Iowa DOT Director and Iowa Transportation Commission for approval.

The 5307 formula allocations (for large urban systems in areas with population from 50,000 to 200,000 population) and all capital requests received through the Consolidated Transit Funding Applications are finalized after the next year's federal appropriation bill is adopted and FTA announces the apportionments to Iowa. Within 30 days of the announcement, the 5307 formula allocations are communicated to the affected transit systems and to FTA. The decisions on capital requests are normally discussed with the Iowa Public Transit Association (IPTA) in November, and finalized by the Iowa DOT in December.

The Consolidated Transit Funding Application (Funding application materials can be found on the OPT website at <http://www.iatransit.com/resources/applications.asp>.)

Authorizing Resolution – Each Consolidated Transit Funding Application must include an authorizing resolution. The authorizing resolution includes:

- dollar amount of funding;
- type of project in each funding program;
- transit system's percentage of state transit assistance formula funds;
- request for advanced payment of state funds as required by the Iowa Code;
- certification that the transit agency has the required non-federal match; and
- designation of the transit system's authorized signatory who will be able to execute any agreements on the behalf of the transit system.

The authorizing resolution must be signed by the chief executive officer of the governing body.

Public Hearing Documentation – The Consolidated Transit Funding Application requires the transit agency to hold a public hearing to explain the state and federal funding requests. Public hearings MUST take place in an accessible building. Comments from the public regarding the need for the project will be recorded. A notice of the public hearing must be published in a newspaper of general circulation in the vicinity of the proposed project(s) approximately 30 days in advance of the hearing. The notice must describe the project(s) in sufficient detail to allow the public to be aware of the projects and funding sources. Vehicles must be broken out by category and listed with other major capital items with separate estimates of costs.

The hearing notice should be submitted to OPT to be posted to the private sector clearinghouse website. Applicants not submitting their notices to OPT at least three weeks prior to the hearing are responsible for sending the notice to the local private sector transit providers and other providers throughout the state who have requested all notifications. The notices must be sent return-receipt mail. Copies of the receipts must be included in the system's funding application.

The following documentation of the public hearing must be included in the application:

- a copy of the hearing notice;
- an affidavit from the newspaper that the hearing notice was published; and
- a copy of the hearing transcript or minutes.

TIP Documentation – All projects submitted in the Consolidated Transit Funding Application are required to be included in the annual transit element of the local Transportation Improvement Program (TIP.) The funding requests in the application must match the amounts programmed in the TIP. Rollingstock projects must use the ceilings for federal participation provided on the Programming Guidance for Transit Vehicles document posted on the website as part of the Consolidated Funding Application. Project justification for some projects, such as capital projects that are not replacement or rehabilitation of existing vehicles, is required in the Transportation Improvement Program (TIP). A copy of the Draft Transit Element of the local TIP must be included as part of the Consolidated Transit Funding Application.

Statewide Capital Project Justification Form

Developed by the PTMS Committee, the Statewide Capital Project Justification Form is a required element of the Consolidated Transit Funding Application. All statewide capital projects, other than rollingstock replacement and rehabilitations projects relying on the PTMS factors for their justification, will need to be justified/described on this form. Go to Exhibit 1 for a copy of this form.

FTA Certifications and Assurances – Each small urban and regional transit system must include a signed copy of FTA's current Certifications and Assurances. Large urban systems applying for statewide 5309 capital funds must also provide a copy. These individual forms will be the basis for OPT's Certifications and Assurances in the statewide application to FTA.

Large urban transit systems participating in FTA's TEAM electronic grant management system only need to provide the date on which they executed the Certifications and Assurances electronically.

Labor Protection Documentation – All transit systems must submit a signed Labor Protection Agreement (Exhibit 2) certifying that the transit system will comply with the terms and conditions of the Special FTA labor Protection Warranty for the 5309, 5311, 5316, and 5317 programs.

In addition, each small urban and regional transit system must supply two tables listing surface transportation providers in the project area. The first table should list providers under contract to the transit system (See Exhibit 3). The second table should list providers not under contract, but operating in the area (See Exhibit 4). In

both tables, the address and the union affiliation (if any) of the provider's employees must be listed. OPT is required to submit this information to the U.S. Department of Labor as part of the statewide 5309, 5311, 5316 and 5317 applications each year. These tables are part of the Consolidated Funding application package and can be found on OPT's website at <http://www.iatransit.com/resources/applications.asp>.

Cost Allocation Plan/Indirect Cost Rate Documentation – The federal Office of Management and Budget (OMB) requires that each entity receiving federal funding prepare either a cost allocation plan or an indirect cost rate proposal, if any indirect costs will be charged to the federally assisted project. Each transit system has submitted either a Cost Allocation Plan or Indirect Cost Rate Proposal (or a statement that no indirect costs are charged to the transit program) to OPT in the past. Each year, as part of the Consolidated Transit Funding Application, any system requesting federal funds that will be administered as part of a statewide grant must either reaffirm the cost allocation/indirect cost information previously submitted or provide an updated plan/proposal/statement. These Certificates are part of the Consolidated Funding application package and can be found on OPT's website at <http://www.iatransit.com/resources/applications.asp> or [Exhibit 5](#) or [Exhibit 6](#) in this Chapter.

Pending Litigation/Civil Rights Complaints Documentation – Each transit system requesting funding that will be administered as part of a statewide grant must report all pending litigation or civil rights complaints that may affect its ability to implement the project(s). Systems that have previously reported any such incidents must also report on the outcome.

ADA Compliance Documentation – Any transit system requesting funds for purchase of vehicles not meeting the standards of the Americans with Disabilities Act (ADA) (possible only for demand-responsive service) must submit a certification that their system, when viewed in its entirety, provides equivalent levels of service for persons with disabilities. The transit agency must also include an ADA Needs Analysis for Demand-Responsive Public Transit, supporting the certification (See [Exhibit 8](#)). This form is also posted with the Consolidated Funding Application materials on the OPT website at <http://www.iatransit.com/resources/applications.asp>.

Facility Feasibility Documentation – Any transit system requesting statewide capital funds for a new transit facility or facility improvement must submit a feasibility study documenting:

1. the need for the project;
2. an examination of project alternatives showing that the proposed solution is the most beneficial;
3. the detailed project concept;
4. the detailed budget estimate for the project; and
5. the environmental assessment.

A project for which a feasibility study is not submitted with the Consolidated Funding Application is not eligible for statewide capital funding. If the project is funded through an individual earmark and a feasibility study is not included, the transit agency may be denied the option of having the project administered under the statewide grant for that year.

Applications for Other Funds Not Included in the Consolidated Funding Application

Iowa's Clean Air Attainment Program (ICAAP) – Iowa DOT's Office of Systems Planning conducts an annual competitive application process for this program. ICAAP supports projects designed to reduce congestion and improve air quality. Highway, transit, and trails projects, as well as educational campaigns, are eligible and evaluated on the basis of projected impact on congestion and air quality. Local applications are due to Systems Planning by October 1, for funding that is available approximately one year later. Projects do not need to be in the TIP/STIP at the time of initial application. Projects selected to receive ICAAP funding are usually recommended for approval to the Iowa Transportation Commission in February, to allow for inclusion in the next year's TIP/STIP.

Funding for transit projects selected to receive ICAAP funding is transferred from FHWA to FTA. The Office of Program Management will request transfer of the funds at the national level. If the applicant is a large urban transit system (over 200,000 population) or is a large urban system (50,000 – 200,000 population) the ICAAP funds will be administered under the 5307 program. If the transit system is a small urban transit system (<50,000 population) or a rural transit system, the ICAAP funds will be administered as part of a statewide 5311 grant. In each case, OPT will include the projects in its statewide applications based on project information obtained in the ICAAP applications.

Surface Transportation Program (STP) – The application process for these flexible funds varies from area to area. The competition for STP funds is at the local Metropolitan Planning Organization or the Regional Planning Affiliation level. When STP funds are programmed for transit projects, the planning agency is required to send a letter to the Iowa DOT's Office of Program Management requesting that the funds be transferred to FTA. If the applicant is a large urban transit system, the STP funds will be administered under the 5307 program, and the transit system is responsible for including the project in its annual 5307 application to FTA. If the successful transit applicant is a regional or small urban transit system, the STP funds will be administered as part of the statewide 5311 grant. In this case, OPT will include the project in its statewide application, based on project information obtained from the transit system.

Intercity Bus Assistance Program (ICB) – Although funded under FTA's 5311(f) program, Iowa's Intercity Bus Assistance Program has a different application process and timetable. Commercial intercity carriers and transit systems may apply for this program. Applications are solicited and received by OPT in the fall of each year. Recommended projects are approved by to the Iowa DOT in December, and are funded during the following calendar year. A complete copy of the Intercity Bus Assistance application package is available on OPT's website at <http://www.iatransit.com/resources/applications.asp>.

Transportation Planning Applications – The process for MPOs or RPAs to apply for transportation planning funds, including FTA funds allocated for that purpose, was addressed in [Chapter 4](#). It is also possible for large urban systems to program part of their 5307 formula allocation funds for support of planning-type activities, either in-house or by consultants. Projects should be documented in both the planning agency's Transportation Planning Work Program (TPWP) and in the TIP. These

planning funds would be applied for as part of the large urban transit system's annual 5307 application directly to FTA.

Transit Capital Match Loan Program (Amoco Loan) – Amoco Loan applications may be submitted at anytime during the year. OPT periodically announces the amount of uncommitted Amoco Loan funds available and encourages transit systems to apply. The application is in the form of a letter, requesting the loan and proposing a repayment schedule, which may be subject to negotiation. The request is also required to estimate the energy conservation benefit of the project to be funded. Loan decisions are made by OPT.

The administrative rules for the Amoco Loan Program indicate preference that applications are a part of the Consolidated Transit Funding Application, to coincide with the capital funding application that it will match. However, the timetable for decisions on capital funding no longer coincides with the Consolidated Transit Funding Application. It is still possible to submit an application for an Amoco Loan as part of this process, but no commitment will be made until a decision on the request for federal capital funding is made by OPT.

Federal Level Grant Applications

All applications for grants from the FTA must be submitted electronically through the Transportation Electronic Award and Management (TEAM) system. The Iowa DOT submits the statewide grant applications to the FTA for Section 5310 elderly and persons with disabilities program, 5311 non-urban program, the statewide 5309 capital program, and the statewide 5316 and 5317 programs. 5309 program funds may also be set up as individual applications for transit system who serve large urban areas over 50,000 in population. 5316 and 5317 grant applications may be submitted by transit systems serving large urban areas with greater than 200,000 population. 5307 urban applications are submitted by individual urban systems. ICAAP and STP grants administered by OPT are also submitted through TEAM.

Statewide Applications to FTA

5310/5311 Formula Grants – The statewide 5310 and 5311 applications are normally submitted to FTA by OPT each year in late December. The 5310 application contains "cost of contracted services" and capital projects for the upcoming state fiscal year, based on the state's formula allocation process used for both the 5310 and 5311 programs. The 5311 application contains capital projects and also operating assistance projects for the upcoming state fiscal year, based on the state's formula allocation process used for both the 5310 and 5311 programs. A separate 5311 application includes capital transit projects programmed for small urban or regional transit systems from flex fund programs such as STP or ICAAP.

Each application includes a "Program of Projects" which lists each subrecipient project, with information as to whether the subrecipient has completed all certifications and assurances, etc. A summary project budget and the state's certifications and assurances are also included. Approval by FTA is generally obtained 60-90 days after grant submittal, although complications related to capital projects, sometimes delay the approval process.

5309 – The statewide 5309 application is normally submitted to FTA by OPT in late December each year. It contains the capital projects selected through the PTMS process, in consultation with the Iowa Public Transit Association for funding from the

statewide 5309 earmark. The application may also include capital projects for a transit system that has received an individual earmark, if that system requests the Iowa DOT to administer the grant and agrees to allow unneeded funds to be reprogrammed based on statewide needs. OPT normally submits a separate application for facility projects.

5316 – OPT submits the two 5316 application to FTA each year. One application is for the funding available to the small urban and the regional transit systems and the other application is for funding available to the eight large urban transit systems. 5316 applications include projects programmed by individual transit systems which provide OPT staff with project justification and budget information required for each project. OPT compiles and prepares project funding recommendations for presentation to the Iowa DOT Commission. After the projects receive Iowa DOT Commission approval they are submitted to FTA in grant applications.

5317 – OPT submits the two 5317 application to FTA each year. One application is for the funding available to the small urban and the regional transit systems and the other application is for funding available to the eight large urban transit systems. The New Freedom applications include projects programmed by individual transit systems which provide OPT staff with project justification and budget information required for each project. OPT compiles and prepares project funding recommendations for presentation to the Iowa DOT Commission. After the projects receive Iowa DOT Commission approval they are submitted to FTA in grant applications.

Individual Applications to FTA

5307 – A transit system in areas with more than 200,000 population may submit its individual annual 5307 application directly to FTA anytime after FTA publishes its funding apportionment tables following the adoption of the federal transportation appropriations bill. Systems in areas between 50,000 and 200,000 population may submit their individual annual 5307 application direct to FTA anytime after OPT announces the state's allocations of 5307 funds for these areas. This application may contain operating assistance projects and/or preventive maintenance (operating is allowed only in areas under 200,000 population), capital projects, or planning projects programmed with 5307 funds. The application may also contain transit projects programmed to receive STP funding. All projects must be in the annual element of an approved TIP/STIP. FTA generally approves the application within 60-90 days after submittal.

5309 – Public agencies with individual earmarks of 5309 funding may either request to be part of the statewide 5309 application or may submit their individual 5309 applications directly to FTA anytime after FTA publishes its funds apportionment tables following the adoption of the federal transportation appropriations bill. A private not-for-profit corporation with an earmark must be part of the statewide application or find another public agency to apply on its behalf. Projects must be programmed in the annual element of an approved TIP/STIP. FTA generally approves the application within 60-90 days after submittal, although complicated facility projects may cause delays.

FTA Grant Agreements – FTA issues a grant agreement within the TEAM system when the grant is approved. The grant agreement is in electronic form and is executed by both FTA and the applicant/recipient electronically. The FTA grant agreement sets forth the specifics of the grant award, in terms of the exact amount

and source of funding, the project budget, plus any project specific restrictions or conditions. The grant agreement incorporates, by reference, both the recipient's application information and FTA's "Master Agreement."

FTA Master Agreement – The FTA Master Agreement is the "boilerplate" for all FTA grant agreements, providing a compilation of all the general requirements imposed for all FTA grants. A new version of the Master Agreement is issued at the beginning of each federal fiscal year (October 1) and applies to all FTA grants issued during that year. To determine which version of the Master Agreement applies, verify the date the FTA grant was approved.

Iowa DOT Joint Participation Agreements – The Iowa DOT issues Joint Participation Agreements for State Transit Assistance and each subrecipient project that is part of an approved statewide grant from FTA. The Joint Participation Agreement defines the project, and presents the terms and conditions under which the project may proceed. All Joint Participation Agreements, except those for STA formula funds, list all the individual project elements funded, the maximum amount available for each, and the percentage of eligible costs that will be reimbursed under the agreement. STA formula agreements include a generic project element description and, rather than a firm dollar amount of funding, a percentage resulting from that year's distribution formula calculation. The percentage of the total STA funds available each month will be paid.

All of the Joint Participation Agreements list the project period during which the agreement will be in effect. For STA projects and federal operating assistance or cost of contracted operations projects, the project period is one state fiscal year (July 1-June 30). For federal capital projects, the effective period will begin on the date that the Iowa DOT approves the revised program. The project ending date will be two years from the end of the quarter in which the federal grant is approved. However, there is a provision in the agreement that any project element not obligated within one year of the end of the quarter may be dropped from the contract. Amoco Loan agreements also list the repayment schedule for the loan.

All Joint Participation Agreements also incorporate, by reference, "Part II" that is issued separately.

Part II (of Joint Participation Agreement) – Part II contains the "boilerplate" for all of Iowa DOT's transit Joint Participation Agreements. Along with generic agreement language applying to all agreements, Part II includes the terms and conditions that apply to each federal funding program. Included are references to the FTA Master Agreement and various FTA program circulars, as well as state or federal regulations. In most cases these are included as appendices contained in the "Agreement Binder".

A Table of Contents lists all of the "appendices." Each appendix has a link to documents maintained on OPT's website or to documents maintained on other sites (such as the FTA website, the Code of Federal Regulations or Iowa Code sites).

Procedures for Issuance/Executing Joint Participation Agreements – Joint Participation Agreements for STA formula projects, 5310 cost of contracted service, and 5311 operating projects are issued each June. Joint Participation Agreements for federal capital projects will be issued within two weeks of the approval/execution of

the federal grant. Agreements for AMOCO Loans will be issued within two weeks of the loan approval.

When OPT issues a Joint Participation Agreement, three originals of the agreement will be sent to the manager of the applicant transit system. All three originals will already be signed by the OPT director. The transit system manager is responsible for having the authorized signatory sign all three originals of the agreement and returning two of the signed originals to OPT. The transit agency manager keeps one signed copy for the transit system's files. The Joint Participation Agreement is "fully executed" when the authorized signatory signs the three originals.

Iowa DOT Joint Participation Agreements – All changes to Joint Participation Agreements are called amendments. This would include anything from a change in the project expiration date, to a change in the nature of a project element, or a change in the amount of funding for a project element. Amendments should be requested in writing, with a detailed discussion of the proposed change and justification for the change. Proposed amendments are reviewed by OPT staff. Potential action by the staff include:

1. approving the proposed change;
2. rejecting the approved change; or
3. proposing an alternative change.

If either the originally proposed change or alternative change is found to be acceptable to both parties, a revised agreement is issued for execution by both signatories.

Some changes to a project do not require amendments to a Joint Participation Agreement. Transit systems are allowed to buy a larger vehicle than identified in the agreement, as long as the transit system is willing to only be reimbursed to the ceiling amount that would apply to the vehicle listed in the agreement, and ADA features, or other special features reflected in the ceiling price are not sacrificed. (Special features may include diesel engine, urban route configuration, etc.) Transit systems may also add ADA features to a vehicle originally programmed as non-ADA, with no change to the ceiling listed in the agreement. However, systems wishing to purchase a smaller vehicle than listed in the agreement or to drop ADA features, must request an amendment and will be subject to a reduction in the funding ceiling for that item.

It should be noted that OPT considers any funds remaining in a project element after the specified project has been completed available for reprogramming to any statewide need. No preference is given to other projects within the particular agreement, or other existing or proposed projects desired by the transit system holding the agreement.

Funds not obligated within twelve months of the original expiration date may be withdrawn as a provision of the executed agreement.

FTA Grant Agreements – FTA requires a grant amendment any time additional funds are added to a grant. The process of applying for a grant amendment is identical to the process of applying for a grant. Changes to projects within a grant are considered "budget revisions" if the grant total does not change. Budget

revisions are handled electronically, through FTA's TEAM system. Some revisions require advance FTA approval. The TEAM system monitors the nature of the revisions and will block the revision until FTA sign-off is received, if required.

Chapter 5 Highlights

- Consolidated Funding Application
 - Authorizing Resolution
 - Public Hearing Documentation
 - Transportation Improvement (TIP) Documentation
 - Capital Project Justification
 - FTA Certification and Assurances
 - Labor Protection
 - Cost Allocation Plan/Indirect Cost Rate Documentation
 - Pending Litigation
 - ADA Compliance
 - Facility Feasibility Documentation
- Iowa Clean Air Attainment Program (ICAAP)
- Surface Transportation Program (STP)
- InterCity Bus Program
- Planning Applications
- Amoco Loan
- Joint Participation Agreements

Exhibit 1



Iowa Department of Transportation Authorizing Resolution

We, hereby, authorize, _____
(Name of Authorized Signatory)

on behalf of _____
(Legal Name of Applicant)

to apply for financial assistance as noted below and to enter into related contract(s) with the Iowa Department of Transportation.

From the State Transit Assistance Program:

_____ % of formula funds;
_____ \$ amount of Special Project Funds requested

From federal funds for transit in non-urbanized areas and/or for transit serving primarily elderly persons and person with disabilities:

\$ _____ ;

From state-wide federal capital assistance for transit:

\$ _____ .

From federal funds from the Job Access/Reverse Commute program:

\$ _____ .

From federal funds from the New Freedom program:

\$ _____ .

We understand acceptance of federal transit assistance involves an agreement to comply with certain labor protection provisions.

We certify that _____ has sufficient non-federal
(Legal Name of Applicant)

funds to provide required local match for capital projects and at time of delivery will have the funds to operate and maintain vehicles and equipment purchased under this project.

We request that State Transit Assistance formula funding be advanced as allowed by law, to improve transit system cash flow.

Adopted the _____ day of _____ , _____.

Name: _____
(Applicant's Governing Body)

By: _____
(Signature of Chief Executive Officer)

Title: _____

Address: _____

Telephone: _____

Exhibit 2



Iowa Department of Transportation

Labor Protection Agreement

The _____, as an applicant for federal non-urbanized area
(Legal Name of Applicant)

agrees that in the absence of a waiver by the Department of Labor, the terms and conditions of the Special FTA Labor Protection Warranty shall apply for the protection of the employees of any employer providing transportation services assisted by the project and the employees of any other surface public transportation providers in the transportation service area of the Project. The warranty arrangement shall be made part of the contract of assistance with the Iowa Department of Transportation and shall be binding and enforceable by and upon the parties thereto, by any covered employee or his/her representative.

Additionally, pursuant to Section (A) of the Special FTA Labor Protection Warranty, included with this submission is a listing of all transportation providers which will be recipients of transportation assistance funded by the Project, and a listing of other transportation providers in the geographic area of such project, and any labor organization representing the employees of such providers.

I further certify that I have read and understand the terms and conditions of Special FTA Labor Protection Warranty, contained in the contract binder as Appendix I or which can be found at www.fta.dot.gov/library/policy/circ9040_1E/exbtf.htm.

Dated: _____

(Signature)

(Title of Authorized Official)

Exhibit 3

Form 020122
12-01wd



Iowa Department of Transportation

Listing of Surface Transportation Providers in Project Area

Table 1: Transit Providers Operating Under Authority of Applicant

Note: List Applicant as #1 if it actually operates/provides service.

Union Code

A - Amalgamated Transit Union

B - AFSCME

C - Teamsters

D - Transport Workers Union of America

E - Other

List transit operations showing their current
status as of _____
(Date)

use
union
code

"x" if yes

Provider Operating Under Contract to: _____ (Name of Transit System)	Union Local Number	Union/Bargaining Unit	Crosses Urban/ Boundary	Crosses Regional Boundary	Crosses State Boundary	Receiving Public Money	Private-For-Profit
(Address must be included) 1. 2. 3. 4. 5. 6.							

Form 020123
12-01wd



Iowa Department of Transportation

Listing of Surface Transportation Providers in Project Area

Table 2: Transit Providers Not Operating Under Authority of Applicant

List all other public transit systems, intercity bus companies, taxis, or social service transportation providers which operate or offer services in Applicant's service area.

Union Code

- A – Amalgamated Transit Union
- B – AFSCME
- C – Teamsters
- D – Transport Workers Union of America
- E – Other

List transit operations showing their
current
status as of _____

(Date)

List all large and small urban; rural; private, non-profit; public operations in the
Region.

use union
code

“x” if yes

Services/Programs Operating Independently From: (Name of Transit System)	Union Local Number	Union/Bargaining Unit	Crosses Urban/ Boundary	Crosses Regional Boundary	Crosses State Boundary	Receiving Public Money	Private-For-Profit
<p>(Please include address)</p> <p>Region</p> <p>Small Urban Area</p> <p>Large Urban Area</p>							

Exhibit 5



Iowa Department of Transportation

Certificate of Cost Allocation Plan

This is to certify that I have reviewed the cost allocation plan submitted herewith and to the best of my knowledge and belief:

(1) All costs included in this proposal [identify date] to establish cost allocations or billings for [identify period covered by plan] are allowable in accordance with the requirements of OMB Circular A-87 (www.whitehouse.gov/OMB/circulars/a087/a087-all.html), "Cost Principles for State, Local, and Indian Tribal Governments," and the Federal award(s) to which they apply. Unallowable costs have been adjusted for in allocating costs as indicated in the cost allocation plan.

(2) All costs included in this proposal are properly allocable to Federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the awards to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently.

I declare that the foregoing is true and correct.

Governmental Unit: _____

Signature: _____

Name of Official: _____

Title: _____

Date of Execution: _____

Exhibit 6



Iowa Department of Transportation

Certificate of Indirect Costs

This is to certify that I have reviewed the indirect cost rate proposal submitted herewith and to the best of my knowledge and belief:

(1) All costs included in this proposal [identify date] to establish billing or final indirect costs rates for [identify period covered by rate] are allowable in accordance with the requirements of the Federal award(s) to which they apply and OMB Circular A-87 (www.whitehouse.gov/OMB/circulars/a087/a087-all.html), "Cost Principles for State, Local, and Indian Tribal Governments." Unallowable costs have been adjusted for in allocating costs as indicated in the cost allocation plan.

(2) All costs included in this proposal are properly allocable to Federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the agreements to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently and the Federal Government will be notified of any accounting changes that would affect the predetermined rate.

I declare that the foregoing is true and correct.

Governmental Unit: _____

Signature: _____

Name of Official: _____

Title: _____

Date of Execution: _____

Exhibit 7



Iowa Department of Transportation

CONSOLIDATED TRANSIT FUNDING APPLICATION FY _____ STATEWIDE CAPITAL PROJECT JUSTIFICATION FORM

(Use this form ONLY for projects to correct significant Human Health/Safety concerns)

Transit System: _____

Contact Person: _____

Title: _____

Address: _____

Phone: _____ E-mail address: _____

Proposed project description and justification (to be used for all projects except rolling stock competing in the PTMS prioritization process):

Estimated Total Project Cost: _____
Federal Funds Requested: _____
Local Funds Available: _____

(Signature of Authorized Representative of Applicant)

I certify the above information is accurate to the best of my knowledge, and that our transit system has, or has made arrangements for, the required non-Federal match and is prepared to proceed with implementation of the project upon grant approval.

(Printed Name)

(Title)

(Date)

Please complete one form for each project except rolling stock replacement and rehabilitation projects, which can rely on the PTMS factors for their justification.

Please return the completed form to the Office of Public Transit, Iowa Department of Transportation, 800 Lincoln Way, Ames, IA 50010.

CONSOLIDATED TRANSIT FUNDING APPLICATION INSTRUCTIONS

FY ____ - Enter Federal fiscal year of the project funding request.

Transit System – Enter the name of the designated transit system.

Contact Person – Enter the name of the person that OPT staff should contact if there are any questions on the submitted materials.

Title – Enter the position held by contact person.

Address – Enter the street address or post office box number, City, State and Zip Code.

Phone – Enter the phone number of contact person.

E-mail Address – Enter the E-mail address of contact person.

Proposed project description and justification –

- Enter a detailed description of the project and provide justification as to why it should be considered for Federal statewide funding.
- Show calculation/allocation of costs to the project. If the project includes transit and non-transit components, show allocations to transit and basis for allocation.
- Replacement projects must include age, useful life, a narrative of the maintenance history, along with any other available documentation, including photos, drawings, etc.
- Expansion vehicles justification must include proposed use of vehicle, spare ratio information prior to and after delivery of the programmed vehicle, along with justification as to why the existing fleet cannot meet the needs of the transit system.
- This form should also be used for vehicle upgrades, providing justification for the need for additional capacity or features.
- Include any other supporting materials, as appropriate. Note any other funding sources for the project (i.e. STP, CMAQ, etc.)
- A feasibility study for the construction of a new transit facility or substantial facility expansion must be attached in order for the project to be eligible to compete for statewide capital funding. (see Appendix 4G-1 in the Transit Manager's Handbook.)
- Environmental Analysis for Probable Categorical Exclusions may also be required. (see Appendix 4H-1 in the Transit Manager's Handbook.) (use additional pages if necessary.)

Total Project Cost – Enter the total cost of the project attributable to transit.

Federal Funds Requested – Enter the amount of Federal funding being requested.

Local Match Available – Enter the amount of local funding available for the project.

Signature of Authorized Representative – The legal signatory for the transit system acknowledges the above information is accurate to the best of his/her knowledge, the transit system has the required non-Federal match and is prepared to proceed with implementation of the project upon grant approval.

Printed Name – Print name exactly as signed.

Title – Title of Authorized Signatory.

Date – Date Project Justification Form was completed.

Please return the completed form to the Office of Public Transit, Iowa Department of Transportation, 800 Lincoln Way, Ames, IA 50010.

Exhibit 8

Certification of Equal Access for Persons with Disabilities

(Required before purchase of vehicle without access features required in 49 CFR part 38)

I hereby certify, that when viewed in its entirety, the demand-responsive passenger transportation program of _____ provides disabled persons with access equal to that afforded to any other persons in terms of the following criteria.

- 1) Response time;
- 2) Fares;
- 3) Geographic area of service;
- 4) Hours and days of service;
- 5) Restrictions based on trip purpose;
- 6) Availability of information and reservations capabilities; and
- 7) Constraints on capacity or service availability.

Certified this _____ day of _____, _____.

(Signature)

(Typed/Printed Name)

(Title)

Please complete the ADA Needs Analysis for Demand Responsive Public Transit information and submit it with the Consolidated Transit Funding Application.

ADA Needs Analysis for Demand Responsive Public Transit

The ADA requires demand-responsive public transit systems to provide program accessibility for persons with disabilities. Such features and services of your transit system must be provided in the most integrated manner possible. Unlike fixed-route systems, a demand-responsive system is not required to buy only accessible vehicles, but may purchase non-accessible transit vehicles once it has reached the point where it can assure that an individual with a disability calling in for service on any part of the system can be transported via an accessible vehicle as quickly as a non-disabled person requesting service in the same area. Trip purpose restrictions, advance reservations requirements, etc. are allowable so long as they do not impact disabled persons any differently than they do others.

Although the vehicle accessibility standards are probably the most noticeable of the ADA access requirements, for the demand-responsive system access to the ride-request/dispatch function is every bit as critical and must be considered a priority in programming. An analysis should be completed documenting how ride requests/reservations are handled for all parts of the public transit system. (For brokered systems such an analysis must cover all vehicles purchased with U.S. DOT funding plus any other vehicles for which statistics are counted for funding purposes). In each case, access to phone-in facilities must be provided for hearing impaired persons and access to face-to-face reservation facilities must be provided for persons with mobility impairments, whether these requirements are currently met and, if not, how they will be met in the future—including a listing of any capital improvements needed to accomplish that. (It may not always be necessary for the transit system to own its own telephone equipment for hearing impaired persons, but arrangements must be made which do not involve considerably more effort.)

Access to system information is also a critical need under ADA. Any alternate phone number(s) for hearing disabled persons must be prominently featured in system literature. All literature must also be available in Braille or taped cassette formats for visually impaired persons. (Remember that all system services must be described in system literature and that such literature must include the information that **these services are open to the public, including persons with disabilities, without discrimination**).

Outlets for ticket/pass sales or locations for obtaining eligibility identification cards must be accessible to all persons with disabilities. The analysis should identify any such outlets/locations for the system. For each, an assessment should be made of whether it is currently accessible or, if not, what will need to be done to provide access. (Remember that sometimes it is more sensible to change the location than to do any kind of major retrofitting of a facility.)

Access to public transit vehicles by disabled persons is the heart of the ADA's transportation title. As mentioned earlier, fixed-route transit systems must buy only vehicles that are accessible to persons with a wide array of disabilities that would prevent their usage of today's (or yesterday's) "standard buses." Demand-responsive transit systems must also buy only accessible vehicles, unless they can already provide accessible service to any disabled person requesting to ride on any part of the system just as quickly as a non-disabled person.

At first reading this would appear to have little impact on Iowa's demand-responsive public transit systems since most have had significant numbers of "lift-equipped" vehicles in their fleets to carry persons in wheelchairs. The ADA rules, however, set a higher standard of accessibility which most existing vehicles do not meet. Under ADA, to be considered accessible vehicles must have longer platforms on their lifts so that they can carry the popular three-wheel scooter mobility devices as well as traditional wheelchairs. They must have a double handrail on the lifts to carry persons unable to comfortably climb stairs, but not yet using a wheelchair. They must transport the mobility devices in a forward or rearward facing orientation, instead of the more dangerous but cheaper side-facing positions, and the securement systems used must provide better protection than most of those currently in use. They must also allow either 56 or 68 inches of headroom from the lift to the securement location. There are also other minor new requirements.

The first step in analyzing whether vehicles to be purchased by a demand-responsive transit provider must be accessible is to evaluate the existing fleet. How many existing vehicles meet the accessibility standards? Are there any others, which can with only minor changes be brought into compliance?

Next the various services provided under the auspices of the system should be examined. In each case an assessment should be made whether the service is currently provided with an accessible vehicle and if it is not, whether there is some other accessible vehicle available to provide the service if someone in a scooter, for instance, might request a ride. The assessment may involve programming a retrofit of existing vehicles to meet the accessibility standard, but prior to the system programming purchase of any non-accessible vehicles. The assessment should document the way by which the system is able to respond to a request for accessible transportation on any of its services in a way that matches the response time for non-disabled ride requests.

Other facets of the transit program are also affected by ADA. All transit board meetings, advisory meetings, planning meetings, etc. are required to be open to the public. The meeting locations must be fully accessible to persons with disabilities. Such access must include access to water fountains, rest rooms, vending machines or other amenities available to others involved in the meeting. As with other functions such as ticket sales, etc., the remedy need not involve changes to the current site, but could instead merely involve scheduling the meetings at a different location where accessibility features are available. Thought should also be given to scheduling meetings when accessible transit service is available or providing special service for persons wishing to attend the meetings.

Even once all transit functions, which involve interfacing with the public, are made accessible to persons with disabilities there may still remain workplace accessibility concerns under ADA. This might be especially true if some of the public functions have been made accessible by relocating them to a different site. Workplace accessibility for both office and garage facilities becomes a factor if any new construction, additions or modifications are anticipated. The new areas must be designed for full accessibility and with additions or modifications, to the extent that cost is not disproportionate to the overall project total. It is required that restrooms, drinking fountains, etc. serving the new or remodeled areas must also be made accessible. Even in the absence of any planned additions or remodeling, the employment provisions of ADA require that reasonable accommodations be made in existing work sites to allow a qualified employment candidate with disability to access the workplace and perform their job duties.

Access to Vehicle Dispatch/Ride Reservations

What arrangements have been made to allow access to dispatch service by persons with hearing impairments? (Examples: equipping dispatch with TDD, having calls relayed by other agency with TDD, etc.)

Do the above-described arrangements cover all transportation services provided as part of the transit program and do they avoid imposing any greater cost or inconvenience on such disabled persons than on other riders? (i.e.: toll call vs. Toll free or shorter hours).

Are these arrangements prominently publicized in all system literature or media advertising?

Describe any special outreach which been conducted to inform hearing-impaired persons of this access to the dispatch function.

Access to System Information

What efforts have been undertaken to make system information (such as brochures, schedules, etc.) accessible to persons with visual impairments? (Examples: audiotape version available, Braille version available, large print version available)

Does all literature/advertising include information that all services are **open to the general public, including persons with disabilities**?

Describe any special outreach that has been conducted to inform various segments of the disabilities community of service accessibility.

Access to ticket/token/pass/ID outlets

If your system allows or requires users to pay fares or obtain ID's at any location other than aboard a transit vehicle, describe each such location, what function it is used for, and whether the site itself is accessible to persons with disabilities as well as whether any public restrooms, drinking fountains, etc. serving the site are accessible.

Location	Transit Function(s)	Site Accessible	Amenities Available	Public	Public
				Amenities Accessible	Accessible

Fleet Accessibility

List all passenger vehicles in public transit fleet including both vehicles bought with state or federal transit funds and vehicles bought with any other funds which are used to provide services counted toward public transit formula funding. For each, list ID# and length, then indicate whether the vehicle meets the various ADA standards for accessibility. (see Appendix M in your Agreement Binder)

Fleet ID#
Vehicle Length
ADA Lift
ADA Ramp
ADA Headroom
ADA Securement locations
ADA Securement systems
ADA Lighting
ADA Priority seating
ADA Handrails

Service Accessibility

List each distinct service provided by the public transit program (i.e.: all services performed by vehicle listed previously). This should include a separate listing for each contract and, if a contract involves different services provided by different vehicles or covers different service areas serviced by different vehicles, these should be broken out. For each service element listed, indicate whether it is currently provided by an existing ADA accessible vehicle. For each service element that is not served by an ADA accessible vehicle, indicate, if possible, how you would be able to respond to a request to carry a 48" long scooter, or an individual with a walker needing lift assistance, on such service with a response time and fare matching those available for current riders.

<u>Service</u>	<u>Accessible Vehicle</u>	<u>Means for Providing Access</u>
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Transit Meeting Access

List all meetings relating to the transit program such as board meetings, transit advisory meetings, planning advisory meetings, budget meetings, public hearings, etc. and their normal location. For each location, note whether the site itself is accessible to persons with disabilities and whether any amenities (restrooms, drinking fountains, vending areas, etc.) available to persons attending the meetings at the site are accessible.

<u>Meeting</u>	<u>Location</u>	<u>Accessible Site</u>	<u>Accessible Amenities</u>
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Access to Workplace

List all locations where persons involved in any aspects of providing the transportation services listed previously work. This would include administrative offices, dispatching areas, driver staging areas, vehicle maintenance areas, purchasing offices, coordinator or outreach offices if supported by transit, etc. For each note whether the persons working at this site are employees of the transit system or employees of subcontractors, then note whether the site is accessible to persons with disabilities and whether the amenities available at the site for people working there are accessible.

<u>Worksite</u>	<u>System Employees or contractors</u>	<u>Site Accessible</u>	<u>Amenities Accessible</u>
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